

**STATE OF MONTANA
REQUEST FOR INFORMATION
DECEMBER 20, 2013**

The Montana Department of Administration – State Information Technology Services Division is seeking information on Electronic Content Management System (ECMs)

The information provided in response to this RFI may be used to develop a formalized Request for Proposal or Invitation for Bid for the purchase of an ECM/ERM solution.

This is only a Request for Information (RFI) and should not be construed as intent, commitment, or promise to acquire hardware, services, or solutions offered. No contract will result from any response to this RFI.

Each RFI response must be submitted to Michele Burchett and received prior to **2:00 P.M., January 17, 2014 (sooner if at all possible)**. Provide one (1) electronic copy of your response to the following address:

Michele Burchett
Montana Department of Administration
State Information Technology Services Division
P.O. Box 200113
125 N. Roberts
Helena, MT 59620-0113
Email: MBurchett@mt.gov

Questions about this Request for Information (RFI) may be referred to Michele Burchett, State of Montana, Department of Administration – ITSD. Please email all inquiries to MBurchett@mt.gov.

REQUEST FOR INFORMATION

1.0 Purpose and Objectives

- 1.1 The Montana Department of Administration, State Information Technology Services Division (State) is seeking information on an Enterprise Content Management System (ECMS). Please refer to Section 3 - ECM Specifications, for a more detailed list of specifications.
- 1.2 The State of Montana has approximately 13,000 employees in 33 agencies, offices and commissions. There are 56 county governments that may choose to be a part of an enterprise-wide solution. Most agencies have their own Information Technology (IT) departments. The State Information Technology Services Division also provides a wide array IT services to State agencies, including some ECM capabilities as part of the Division's FileNet Service offering. You may find more information about Montana State Government at www.mt.gov.
- 1.3 Possible business process use cases for an ECMS include processing and tracking;
 - water use rights,
 - professional and business licensing,
 - risk management claims,
 - boilers and elevator licensing and inspections,
 - employee insurance claims,
 - motor vehicle licensing,
 - supreme court docket filings,
 - welfare case management,
 - mining permits
- 1.4 An agency survey was conducted in November 2013 (See Attachment A – Survey Results, for the results of an ECM/ERM survey of interested agencies). Some agencies have deployed their own ECMS, including FileNet, SharePoint, LaserFiche, Perceptive, and Docuware.

2.0 Terms and Conditions

- 2.1** The State will not be obligated to purchase any products as a result of this RFI.
- 2.2** Information submitted in response to this RFI will become the property of the State.
- 2.3** Information that is confidential or trade secret must be clearly marked and separated from the rest of the response. The response does not contain confidential material in the cost or price section. An affidavit from a Vendor's legal counsel attesting to and explaining the validity of the trade secret claim as set out in Title 30, chapter 14, part 4, MCA, is attached to each response containing trade secrets. Counsel must use the State of Montana "Affidavit for Trade Secret Confidentiality" form in requesting the trade secret claim. This affidavit form is available on the General Services Division's website at: <http://www.mt.gov/doa/gsd/procurement/forms.asp> or by calling (406) 444-2575.
- 2.4** Any information separated out under this process will be available for review by our strategic planning team and other designees. Vendors must be prepared to pay all legal cost and fees associated with defending a claim for confidentiality in the event of a "right to know" (open records) request from another party.
- 2.5** The State of Montana will not pay for any information herein requested nor is it liable for any cost incurred by the vendor.
- 2.6** Economy of presentation: Special binders, colored displays, promotional materials, and the like are not required. Please submit your response in electronic copy.
- 2.7** Vendors may be asked to meet for the purpose of explaining and/or demonstrating responses. Any meeting, if necessary, will be held in Helena, Montana. List a contact person and phone number the State may contact to schedule a meeting.
- 2.8** This RFI is being submitted strictly for the purpose of gaining knowledge of the products and services available.
- 2.9** Vendors should provide a copy of all software license agreements as well as maintenance and support agreements for the products described in Section 3.

3.0 ECM/ERM Specifications

3.1 Definitions

- 3.1.1 Enterprise-wide Solution** – a single solution that will support all agencies, offices, and commissions described in sub-section 1.2.
- 3.1.2 Enterprise Content Management System (ECMs)** - a formalized means of organizing and storing an organization's documents, and other content, that relate to the organization's processes. The term encompasses strategies, methods, and tools used throughout the lifecycle of the content, including records management functionality.
- 3.1.3 Document Imaging** - capability to capture paper-based information and convert it to electronic images that are stored electronically. Steps include:
- Sorting the documents
 - Scanning preparation
 - Scanning
 - Indexing (so they can be retrieved and searched)
 - Storing in a system.
- 3.1.4 Workflow** – handles approvals and prioritizes the order documents are presented. In the case of exceptions, workflow also escalates decisions (based on pre-defined rules developed by system owners) to the next step in the hierarchy.

3.2 ECM/ERM Qualifications Submittal Requirements

- 3.2.1 Company Qualifications:** Indicate your company's qualifications and experience as an ECM/ERM provider. Include information on the following:

- **Company Background**

General Background...

DataBank is a SOC Type II and PCI-DSS certified industry leader with extensive experience and expertise in document management and document conversion services with state-of-the-art production centers nationwide. Coupled with our award-winning service, our comprehensive portfolio of imaging services, document management software, hardware, and technology, as well as web-based document hosting and vertical industry ECM solutions provide value-added application solutions and services to thousands of clients at both the Industry and Departmental level.

- For over 20 years, DataBank IMX has been completely focused on end-to-end Content Management Solutions.
 - Convert over 1 Billion documents per year
 - One Gov. client processes over 7,000,000 per year
 - Over 500 Employees
 - Over 3,000 Clients in total –
 - 505 Hyland Software – OnBase Customers
 - 183 OnBase government clients and growing
 - Dedicated Government Practice & Staff (see next page)
- Commitment to Excellence
 - Our most important value – Customer Satisfaction
 - On-Time In-Full Error-Free
 - Delivering the Promise!

100% Customer Satisfaction
That's it-no small type, no clauses , no exceptions

Government Focus...

DataBank understands the need for government agencies, naturally fueled by paper and tied to manual processes, to prepare for more budget cuts, comply with new legislation and ensure security at the highest levels to protect and better service constituents.

DataBank objectively helps government agencies like yours, by providing affordable, secure document management solutions and conversion services to address complex audits and streamline processes in Public Works, Justice, Vital Records and more.

Our end-to-end document management solutions and conversion services:

- Provide unparalleled security in the industry –SAS 70 Type II and PCI-DSS certified

- Image-enable existing business applications such as PeopleSoft, ESRI-GIS, MUNIS, Cityworks, Case Management applications and home-grown systems
- Reduce time and effort filing, searching for lost or misfiled documents – maximize staff capabilities and productivity
- Improve accuracy with superior quality images and data
- Exceed security requirements, compliance, interoperability and sustainability
- Professional Services to design, deliver, integrate, train, manage your document needs from imaging and document management to complete conversion services
- Ensure compliance with Records Management policies, Paper Reduction and Privacy Acts, FOIA, HIPAA

Enterprise Wide ECM Specifics in Government:

Within 18 months, 6 Nebraska agencies initiated 19 process improvement projects generating an annual ROI of \$1.5 million, while at the same time improving service delivery, and employee morale.

DataBank has partnered with over 183 government entities across the United States with great success to creatively redesign their work to be more effective, more efficient and in ways they had not thought possible. A 25-30% reduction of labor in a given process is common as well as hard savings in paper, postage, copying, storing, etc. *The right Imaging Solution can be so much more than basic scan and retrieve.* Please contact references we have provided for Nebraska (and others) to ask them how qualified DataBank was/is to assist them with their Enterprise Wide Imaging/Content Management needs and make sure to ask them about the impact on their operations.

DataBank has the experience and knowledge to implement Enterprise Content Management solutions with a proven track record in virtually all aspects of Government including the following agencies:

Social Services/Health & Human Services	Purchasing/Accounts Payable
Environmental Quality	Human Resources
Agriculture	Attorney
Corrections	GIS
Roads/Transportation	Law Enforcement

Revenue	Information Technology
Land Records/Tax	Risk Management
Auditor	Public Health
Veterans Services	Court Administration
Elections	

Please review further details of our relevant project experience in section 6.4 below that further qualifies DataBank as the best option for the State of Montana to drive costs out of government operations while improving service delivery with ***a strategic enterprise wide electronic content management solution that meets client's short-term and long-term needs for integration and more.***

- **Similar Projects:**

State of Nebraska (most relevant):

The State of Nebraska released RFP 3043Z1 on September 11, 2009. They too were looking for an Enterprise Content Management Solution.

Their reasons and vision align well with yours. They too wanted a solution that ALL Nebraska government entities could leverage. So far the City of Lincoln and Lancaster County have taken advantage of this and other cities and counties are starting to look into this option as well.

The State of Nebraska is not under a consolidated IT Mandate – however, they do offer many consolidated IT services and in this case, this solution, this business need, OnBase (ECM) is a mandated state standard by the Executive State Leadership via a shared service model from the Office of the CIO (OCIO). It has proven to be the right business decision. We have included a video link in the reference section that talks well to how they made their OnBase decision.

A good decision does not always guarantee success...

A handful of agency leaders believed in the direction the state was taking and volunteered to do the initial projects required to justify the purchase. If that is all that happened, it still would have been the right thing to do, and successful. No one anticipated what was to happen next...

Nebraska OCIO had some skepticism as well on how this mandate would be received and adopted. So they chose to get ahead of the curve and do some great internal marketing of their new shared services offering. OCIO teamed up with us, DataBank, and Hyland Software, to put on an internal workshop that would not only highlight what was now possible, but they used the project success of the original volunteering agencies to prove the value and ROI via published internal Case Studies.

The way agencies think about their work has dramatically changed. This no longer is about simple imaging but an advanced way to think about how they do their work, as well as how they work with other agencies and with citizens and partners. It is now about employee, citizen, partner self-service. It is about e-forms and process improvements/workflow. It is about greatly reducing turnaround times, getting quicker payments, etc. (In one case what once took 25 days now can be turned around in 3-4 days). It is about real innovation!

Result - Agencies jumped on board!! The demand far exceeded capacity and the OCIO has extended the partnership with DataBank to assist with meeting the greatly increased demand that the agencies have generated now that they see what is possible above and beyond basic imaging. The OCIO did not see this coming... But they are thrilled with what they have been able to contribute to drive down the cost of government for the State of Nebraska and enhance services to their Citizens.

Another surprise took place when we were able to share solutions between agencies thereby speeding up time to value for common processes.

DataBank has been a true partner from the beginning and adapting to the needs and roles required to support the OCIO and their customers (agencies).

DataBank has used this same type of approach at other customers that chose to take an “Enterprise Wide” approach to leveraging their OnBase ECM investment. We can provide those detailed stories too if needed.

- **Customer References**

- 1- Most Relevant: State of Nebraska. Video reference by Kevin Keller
Enterprise Content Management Solutions Manager,
Office of the CIO

<https://www.youtube.com/watch?v=xz71xqzOwb4>

- a: Dennis Burling, CTO
Nebraska Department of Environmental Quality
Dennis.burling@nebraska.gov
402.471.4214
 - b: Matt Clough, COO
Nebraska Department of Health & Human Services
Matt.clough@nebraska.gov
402.219.1711
- Other departments on an individualized basis

2- Mr. Terry Kight, Imaging Manager
Anoka County, MN
Terry,kight@co.anoka.mn.us
763.422.7516
Enterprise now, started as a single department

3- Kathy Ott, CIO
Department of Business and Professional Regulation
1940 North Monroe Street
Tallahassee, FL 32399
850.717.1007

4- Large county, complex solution: Video reference of Maricopa County working with DataBank.
<https://www.youtube.com/watch?v=FPhaAZl6GXg>

We have several other governmental references. These show a range of our capabilities. With further discussion and planning, we can provide more targeted references.

3.2.2 Solution Overview: Provide an overview of your solution based on the requirements outlined below. Discuss options for migrating legacy ECMS systems listed in Section 1.4 and in Attachment A – State of Montana Agency ECMS Survey.

Based on the contents of this RFI, DataBank and Hyland Software propose an OnBase “Enterprise Access” Perpetual License with an annual maintenance cost at 20% of OnBase Enterprise Access list price. This approach allows the anticipated 5,000 users full unlimited access to the Enterprise Features of OnBase required to meet the requirements that the State of Montana has identified in this RFI (which will meet all the needs of Section 1.4 and Attachment A) and that we anticipated needing for a true enterprise wide deployment.

This approach will also allow for the long-term needs of the State as well as some more mature future needs not yet defined or anticipated or part of this RFI. We based including these capabilities into our proposed approach because of what we have learned in working with our other customers as they have taken an Enterprise Wide deployment approach of OnBase.

Migration options:

With 20 years’ experience in migrations and conversions DataBank is confident that we can collaborate with the State of Montana to come up with the right road map to do any and all migration needed as needed.

Levels of complexity will vary depending on what versions you are currently using of legacy ECMS systems listed. However, many of those legacy systems will have Export API’s and Export Utilities to extract records and OnBase has Import features to easily ingest these records/images into the OnBase Repository. If those Export API’s and Export Utilities are not part of the current version you are using there are multiple specialized tools that we could leverage to still make this possible and good chances we have already done it before. Based on the required industry standards and best practices of storing “Records” in ECMS Systems, this gives us the assurance that we can meet all your needs in this area.

We will strategize with your team as to the most effective game plan for the State. We could do migrations by agency/department or by legacy system and there are pros/cons for each which would require a dialogue with both the business unit as well as your IT organization. This will be part of our standard project planning process.

Note: Although we know we can migrate the “record/image” because of industry standards, there may be some unique things that the State of Montana has done regarding meta-data, redactions, etc. within a legacy system that we are not aware of at this time. This risk is not critical in that it will prevent the migration, it only has the potential to impacts time/cost estimates of the migration effort.

Other Assumptions:

- The State of Montana will only require one central repository (database).
- Allows unlimited enterprise public access (unlimited citizen internet access).
- High level features of proposal in OnBase terms:

3.2.3 Software Modules: Indicate any modules (with descriptions of functionalities) necessary for the solution to meet these requirements.

Application Enabler Integration tool – Provides image enabling to third-party software applications that are GUI, browser, or text-based.

Barcode Recognition - Enables centralized bar code recognition, by allowing a single workstation to perform bar code processing on image batches that were scanned at many scanning workstations.

Batch OCR – Converts images to text. Enables batch processing as well as ad-hoc OCR from a selected list.

Business Activity Monitoring – Provides a real-time snapshot of Workflow processes. Available through the StatusView interface of the OnBase Web Server or a SharePoint Web site, these are configurable portlets.

Business Rules Engine – Allows managers to create business rules which can contain parameterized values. Threshold values can be adjusted to meet dynamic business environments.

Disconnected Scanning- a robust document capture solution that is used while disconnected from OnBase. Supports Kofax, ISIS, and TWAIN scanning.

Distributed Disk Services - Regulates public access to a server through middleware software that acts as a proxy for accessing Disk Groups

Document Knowledge Transfer & Compliance - Provides the ability for organizations to distribute required reading documents to the workforce and assess employee comprehension for compliance and regulatory purposes

Document Transfer- Facilitates the movement of documents between multiple OnBase systems, allowing users to interact with information across distributed organizational structures and geographies

Electronic Document Mgmt. Services- Provides the ability to store and manage revisions of documents generated by Microsoft Office and other file formats. Includes multiple file import, revision control, version control, document commenting, checkin/checkout, automatic upload and synchronization of revisions, document templates, and the Briefcase.

Document Composition - Allows for Ad-hoc creation of form letters using Microsoft Word templates. The content of the created document is a combination of merged data form templates, E-Forms, Workflow properties, web services, database queries and nested sub-templates.

Web Server - Provides an ActiveX or HTML browser interface to access documents stored in an OnBase database via the Internet, Extranet or corporate Intranet.

Mobile Access for iPad - Provides the ability to access pending work in Workflow Queues, view the document, view keywords, execute ad-hoc tasks and view, modify and create notes from an iPad. Also available for iPhone, Android, Windows Phone, and Blackberry

Office Business Applications 2010- Allows users of Word, Excel, and PowerPoint to interact with OnBase content through their familiar Microsoft Office interface. This integration provides users with single-click menu access for storing, retrieving, and editing OnBase documents and related content. Also available for 2013 and 2007

Records Management- Manages the retention, disposition, and destruction of managed record folders according to an organization's business rules, based on the occurrence of an event in accordance with external regulations or compliance laws

Report Services - Provides reports to closely monitor critical performance aspects of an OnBase implementation. Designed to be customizable to allow nearly any element within the OnBase system to be audited for business and IT statistics.

Virtual Print Driver - Provides a method to capture, index and store the print stream from any printable application and store the information as a TIFF image in OnBase.

Unity API Toolkit - Provides an object-oriented API that exposes key OnBase functionality

Unity Server - Desktop client built on .NET and WPF that provides a customizable user experience to the desktop. This will provide a Microsoft Office like user experience for easy adoption and minimal training requirements.

Advanced Capture - Enables the automatic classification and indexing of scanned documents. Supports multiple languages and the processing of bi-tonal, grayscale and color images. Enables batch processing and also ad-hoc Automated Indexing from a select list.

Concurrent Clients – Provides pooled use for retrieval, viewing, printing, and management of documents. Concurrent access means the access software may be installed on as many computers as they wish, but only the licensed number of concurrent Users may use the software module simultaneously.

Workflow - Provides electronic document routing through a configurable work process.

Test Systems – As needed to support the deployment strategy and insure IT governance is adhered to.

XML Index Document Import Processor & Document Import- Imports documents (scanned or other) and their respective index information via XML Index file or flat-file (e.g.CSV) containing metadata and pointers to source document files to automatically import and classify new records.

- 3.2.4 Licensing Options:** Explain how your solution licensed, i.e. named user, concurrent user, enterprise license, server/processor, Storage capacity, etc. The State may require an enterprise-wide system that supports up to 5,000 users.

We believe it is in the best interest of the State of Montana for us to offer an “Enterprise Wide” licensing agreement. With this approach there is unlimited access by employees and constituents who can take advantage of this investment in a future proof platform that will not only meet current ECMS needs but needs well into the future to drive costs out of operations and insure improved effective and efficient processes.

- 3.2.5 Estimated Costs:** Provide an explanation of your price/cost model and estimated cost range (i.e. \$100,000 to \$200,000) based on 5,000 users for your solution as described in sub-section 3.2.2

Using the Enterprise Wide model described in 3.2.4 above, initial system setup, and testing, and the information from this RFI, this project is estimated at \$900,000 - \$1,300,000 with an annual maintenance cost at 20% of the OnBase Enterprise Access list price.

With more dialogue on deployment strategies we could provide services cost options as well as to the deployment of OnBase into individual agencies throughout the State. We can offer multiple ways in which to make this work best for the State and the State’s resources. We are more than happy to discuss how best to approach this project, including sizing and planning, as we have done with other states.

3.3 ECMS Specifications

Document Imaging Specifications		Out of the Box	Custom-ization Required	3 rd Party App	Comments
1.	Does the ECM provide imaging software to import basic scanned documents?	Y			OnBase provides imaging options depending on volume, location, and automation desired.
2.	Does the ECM support the following imaging capabilities:	Y			
	Optical Character Recognition (OCR)	Y			Batch, template, formless
	Intelligent Character Recognition (ICR)	Y			Advanced Capture
	Optical Mark Recognition (OMR)	Y			Advanced Capture
	Optical Bar Code Reader (OBR)	Y			The OnBase Bar Code Reader is included in a couple scanning options.
	Mobile Capture – smart phones and other mobile devices	Y			See Comments for # 3. Below.
3.	Is the system compatible with Multi-functional Devices (MFDs) i.e. copiers, mobile device capture, fax server, email, and file import?	Y			<p>Mobile options show as very desirable in the survey results. OnBase has many mobile options. The system can accept images from a mobile device, either through a dedicated email address that the device can send to or other upload mechanism. The OnBase product also includes a native set of mobile app's for all popular mobile operating systems. These app's include a mobile device capture feature that uploads directly into the repository. Additionally, OnBase includes an electronic forms product that is fully supported by the mobile app's. When a form is initiated on a mobile app, it can "attach" a picture/image by using the mobile device's camera.</p> <p>OnBase has integrations for some MFD's, as well as using Document Import Processor.</p> <p>Import and integration options accommodate many faxes.</p> <p>Email support is through the Outlook integration.</p>
4.	Does the system have the capability to do batch scanning and indexing?	Y			Batch Scanning is an inherent feature in the OnBase production document imaging scanning license. OnBase provides several powerful features in the Document Imaging module for the manipulation of scanned batches - Document Separator, Automatic Page Rotation, and

					Image Segment Archiver. After scanning, batches can be separated into multiple documents using the Document Separator. If performing Document Separation on a multiple-page TIFF file that was swept into the scan queue, the first document file created contains all pages from the original TIFF. Each subsequent document will generate a TIFF file composed of only those pages from the newly created, separated document.
5.	Does the system provide the ability to capture index information from scanning/capture software?	Y			<p>OnBase has a very flexible method of assigning index values or keywords. Depending on what makes the most sense for the solution, OnBase provides different levels of indexing:</p> <ul style="list-style-type: none"> • Manual Indexing - A user will key from image. • Database Look-ups - Based on a unique keyword such as a PO, we can perform a database look-up to fill in the other keywords on the documents. • Bar Code Processing - OnBase can read bar codes and use the data for classification or indexing purposes. • Structured Zone Based Indexing - Based on a pre-defined template, OnBase can lift keyword data from the document. • Semi-Structured Indexing - Data may exist on a document, but not necessarily in the same location on a document-by-document basis. OnBase has the ability to intelligently pick floating values based on pre-defined rules and algorithms. • OCR
Content Management Specifications		Out of the Box	Custom-ization Required	3rd Party App	Comments
1.	What kind of navigational capabilities does your solution support:				
	<ul style="list-style-type: none"> • Folders (similar to MS Windows Explorer) 	Y			See Appendix B

	<ul style="list-style-type: none"> • Key word search 	Y			See Appendix B
	<ul style="list-style-type: none"> • Formal taxonomy using document types and classes 	Y			Native OnBase
	<ul style="list-style-type: none"> • All of the above 	Y			
2.	Does your solution support remote access to the ECM system, i.e. for staff that work in the field and have the need to enter documents from the field?	Y			<p>There are several options for remote access.</p> <p>1-The OnBase system can be extended beyond the State's firewall to allow real-time access to the system from the internet. If the State does not feel comfortable with this approach, traditional remote access methods are available as well such as Terminal Services or VPN. Note, the entire ECM environment can be hosted and available for internet usage as well.</p> <p>2-OnBase includes a mobile app for the various major mobile operating systems that provides the general functionality (retrieval, workflow, upload, form initiation, and offline capabilities.)</p> <p>3-OnBase has a windows based "Briefcase client" that can be used on a laptop or Windows 8 tablet. This client can initiate downloads of content to the local device and provide a similar user experience to the full client. Documents can be captured when disconnected and then uploaded when the connection is restored.</p>
3.	Does your solution provide access to documents on a public-facing online system?	Y			<p>With OnBase Public Sector Constituency Web Access, public users have Internet access to OnBase documents without consuming OnBase user licenses. Website visitors are automatically logged on to OnBase as a public user with rights to only view certain documents, as determined by the system administrator. The Public Access web controls allow users to enter search criteria into pre-defined queries and also can be configured to pull automatic queries as soon as the page is loaded. To decrease compatibility issues, when a user opens a document, it is automatically converted to PDF. This conversion ensures users can access documents from any workstation with Adobe® Acrobat® Reader® 5.0 or greater.</p> <p>In addition to the Public Sector Constituency Web Access</p>

					controls, OnBase also has Web Services available to create more customized public web applications integrating data and functionality with other systems.
4.	Does the ECM support multiple naming and archiving processes?	Y			<p>The ECM system can manage metadata in numerous ways from very simple to very complex. If the question is understood correctly, DataBank will attempt to answer this in a 2 part fashion.</p> <p>Multiple Naming: It should be noted that OnBase supports multiple instances of the same metadata field (e.g. Client Name). This is very different than 2 separately defined metadata field (e.g. Name 1 and Name 2). In the OnBase approach, an end user can search by any value (or multiple values) using the same search field and not have to guess where to type their search criteria.</p> <p>Another approach to metadata is using record-sets. Similar to the above, but extended insofar as the agency may want to define multiple metadata fields and combine them as a record. A common use case here may be a parent-child relationship where there may be numerous child records each with their own set of dedicated fields.</p> <p>Archiving: OnBase supports natively managing multiple copies of content. Administrators can use this functionality to help managing an archival process where content that has aged but not ready for retention processing (destruction) to be moved to less expensive media.</p>
5.	Does the ECM fully integrate with Microsoft Office applications (Word, Excel, PowerPoint, etc.)?	Y			See module description
6.	Does the ECM fully integrate with Microsoft Exchange?	Y			Email Archive for MS Exchange
7.	Does your solution support email archiving and management capabilities?	Y			E-mail Archive captures and stores all e-mail sent or received in a Microsoft Exchange; utilizing the native message journaling capability. Users with the appropriate permissions can search for an e-mail correspondence in the archive based on metadata or

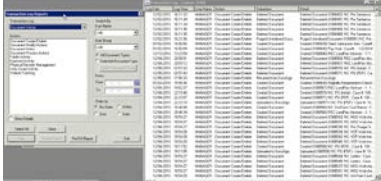
					perform a full-text search on content.
8.	Does the ECM allow access to documents by an Apple iOS or Android device?	Y			<p>The OnBase Mobile Client is supported on the following device Operating Systems:</p> <ul style="list-style-type: none"> • iOS (iPad /iPhone) - 5.0+ <ul style="list-style-type: none"> ○ 96.3% of active devices iOS 5.0+ • Android - 2.2+ <ul style="list-style-type: none"> ○ 98.2% of active devices 2.2+ • BlackBerry - 6.0+ Graphical (NOT BlackBerry 10) • Windows Phone - 7.5+ • Field Adjuster - Windows 8 device (ARM, 32-bit, 64-bit)
9.	Does the ECM allow access to documents via web browser? If so, list the compatible browsers and versions in the Comments section.	Y			Internet Explorer XX, Mozilla Firefox XX,
10.	How does the solution manage documents with a retention policy?				<p>Document Retention manages the retention and disposition of stored documents according to predefined business rules per class of document. The destruction process is initiated by the passage of time, allowing for automatic destruction and/or removal from OnBase. Records managers can establish document retention schedules based on OnBase Document Types and/or Document Type Groups. When the retention period expires, the documents are automatically deleted from OnBase according to two methods:</p> <ol style="list-style-type: none"> 1. Static Retention marks documents for deletion after a predefined retention period has been met, based on the document's creation or process date. 2. Dynamic Retention allows documents to be routed through OnBase Workflow, VBScript or evaluated by an External Processor before final purge (automatically or after user intervention). <p>Key Features: Configurable purge options can delete expired files and</p>


					<p>keywords or files only with or without history</p> <p>Scrub File Area optionally deletes and securely overwrites the disk area preventing recovery</p> <p>Excluding a document removes it from the purge process to address legal holds</p> <p>Document Retention Configuration Report details the configured retention of all Document Types</p> <p>Document Retention Report lists documents purged and those excluded with exclusion reason</p>
11.	Provide examples of reports that can be used to ensure retention policies are being adhered to.				<p>Document Retention Configuration Report enables Record Managers to view the retention plans associated to all document types across the entire repository. The report lists the Document Retention process type, associated Document Types, the retention period and the date used to determine expiration.</p> <p>See Appendix A for examples.</p>
12.	Search Capabilities				See Appendix B for Search information
	<ul style="list-style-type: none"> Will the system accommodate full text OCR to search for and retrieve files? 	Y			
	<ul style="list-style-type: none"> Does the ECM offer web-based and desktop client interface search and retrieval? 	Y			
	<ul style="list-style-type: none"> Does the ECM accommodate "Full Text Indexing" (i.e. OCR) to search for and retrieve files? 	Y			
	<ul style="list-style-type: none"> Does the ECM allow users to configure custom searches that they commonly use? 	Y			
Automated Workflow Specifications		Out of the Box	Custom-ization Required	3rd Party App	Comments
1.	Does your ECMS support document-centric, author-review-approve automated workflow capabilities?	Y			See Appendix C for Workflow information
2.	Does your ECMS support workflow automation for processing:				
	<ul style="list-style-type: none"> E-forms for internal purposes 	Y			
	<ul style="list-style-type: none"> E-forms for external customer purposes 	Y			
	<ul style="list-style-type: none"> Work items (documents, reports, etc.) 	Y			

	<ul style="list-style-type: none"> Automatic notifications and emails 	Y			
	<ul style="list-style-type: none"> Workflow status tracking 	Y			
3.	Does the system allow users to perform workflow activities using a standard web browser such as Internet Explorer and Mozilla Firefox?	Y			
4.	Does workflow allow users to define conditions?	Y			
5.	Can workflow be automated for a specific document type and workflow template?	Y			
6.	Does the workflow include E-signature capabilities?	Y			Both Digital and E-Signatures can be incorporated into a workflow process. OnBase has multiple e-signature options for your consideration in meeting this need. OnBase also supports e-signature services such as DocuSign and others for your external e-signature needs.
Records Management Specification		Out of the Box	Custom-ization Required	3rd Party App	Comments
1.	Include the use of back end migration to optical storage or similar technology that meets the State of Montana legislative compliance requirement for permanent records storage of documents. There should be assurance that records stored in the system cannot be altered.	Y			OnBase is an open system where documents can be stored to the media of your choice. DataBank will work with the State of Montana to ensure your storage needs are met. Documents that have been imported into the OnBase system can be stored to any storage media (RAID, NAS, SAN, CD, DVD, Blu-Ray Discs, optical, tape, etc.). OnBase can also work with several specific products that provide e-worm capability such as NetApp or Centera/Atmos/Isilon. If the State's requirement is store records on optical, but only record types that are indicated for permanent or unalterable storage, OnBase can support this configuration.
2.	Create, edit and manage a corporate "file plan" / records retention schedule, which contains information used to classify records.	Y			OnBase Records Management can meet the special access control, disposition, and retention needs for declared records throughout their entire life cycle. Records Management allows users to create file plans (i.e., rules that govern the storage, retrieval, dissemination, and destruction of a record) that include a defined Retention Plan. A record can contain documents and content from virtually any source, consolidating scanned images, faxes, desktop

					documents, e-mails, and more.
3.	Create and manage the record folders (and folder volumes) that are available to help organize the file plan.	Y			OnBase Records Management is designed to manage more than one document as a single record through the use of its native folder structure architecture. Records Management can manage individual documents as well as folders containing a collection of related records that are maintained as a group. Collections of documents can be managed via a single event and retention schedule.
4.	Configure the system to easily declare objects as records in native authoring tools and specify which object classes and properties to manage.	Y			OnBase Records Management allows records managers the ability to identify and declare records within an organization based on document type. Once the record has been declared, OnBase provides a single document audit log on every document in the system. In addition to the single document audit, OnBase can audit the entire system per user or user group level. The log displays the log date, log time, user name, action (brief description of the action that took place), and a detailed account of the action.
5.	Create and manage records retention rules.	Y			Records Management allows users to create file plans (i.e., rules that govern the storage, retrieval, dissemination, and destruction of a record) that include a defined Retention Plan. A record can contain documents and content from virtually any source, consolidating scanned images, faxes, desktop documents, e-mails, and more. File Plans are easily configured in the OnBase Configuration client. OnBase offers reporting of configured retention plans as "proof of retention."
6.	Create and manage physical boxes, folders and records.	Y			Physical Records Manager can manage retention plans for records in all locations. When referring to a physical record, a Record Locator interface allows users to record storage location for their physical (non-electronic) records. While a physical record can be managed using the records management functionality, the user may still physically manage the actual item.
7.	Search for categories, folders and records.	Y			There are multiple configurable ways in which to accomplish searches/inquiries into all these levels.
8.	Place holds against record categories or search results.	Y			A Records Management record can be placed on hold at

					any time, manually or automatically based on a Workflow action. OnBase Records Management has the ability to define multiple hold reasons, with explanations, and multiple holds can be placed on a single record. Full audit history is available for Records Management hold status.
9.	Identify appropriate metadata for all formats and sources.	Y			Totally configurable with no physical limits as to meeting this need.
10.	Manage various record image / formats in an integrated manner.	Y			Content managed by Records Management can be from virtually any sources, consolidating scanned images, faxes, desktop documents, e-mails and more.
11.	Maintain the relationships between records and files, between file series and the file plan	Y			File Plans and their relationships with each other are defined and maintained within the administration interface. The plan is typically defined and then attached to records. Alternatively, this declaration can be made via other events.
12.	Retrieve information for personal use or to comply with Freedom of Information Act / discovery requests.	Y			<p>The documents available to the public are controlled by a combination of user rights and keyword level security. You remain in complete control of what is, and is not, available via the public portal. Discovery requests are handled similarly, but may include information not publicly available.</p> <p>In addition to meet the needs of Government the following module is offered: "Public Sector Constituency Web Access" streamlines administrative processes by offering citizens secure, Web-based access to public records stored in OnBase. Government agencies can meet Freedom of Information Act (FOIA) and other regulations while ensuring constituents only retrieve documents and records that are suitable for public access. Providing convenient, self-service capabilities, organizations can significantly reduce time handling requests for information including court orders, zoning applications and permits.</p>
13.	Construct and manage audit trails and track system usage by department and user.	Y			OnBase maintains a detailed audit trail for each document in the system. This audit trail can be expanded to include logging transactions initiated in workflow. These custom logs are accessible directly from the audit

					<p>trail and can be reported on.</p> <p>Here is a screen shot that illustrates the audit trail:</p> 
14.	Manage the integrity and reliability of records once they have been declared as such.	Y			<p>The following tools are available to ensure integrity and reliability:</p> <p>Audit Trail: All actions and decisions about the content is logged in the audit trail and can be used to trace activities back to date/time and user.</p> <p>Digital or electronic signatures: can be used to validate whether content has changed since it was originally signed.</p> <p>Data Analysis: OnBase provides tools that can be scheduled or run-on-demand that will analyze the file store to ensure that the physical content is accounted for and not corrupt.</p> <p>Records Management: If content is declared as a record and is in a closed status, certain modification/edit functionality is not allowed on the content. This prevents alterations that are not compliant with the record plan.</p>
15.	Identify records that are due for disposal when their prescribed retention periods elapse, managing the disposal process.	Y			<p>The disposal of a document can be scheduled to happen automatically, or only after review by a system administrator or records manager.</p>
16.	Provide a seamless integration of the ERMS (providing the records management logic) with an ECMS,	Y			<p>Records Management is fully integrated with OnBase and therefore benefits from the OnBase user interface and security model. Content already managed within OnBase can be easily imported into a Records Management folder. Given the single interface, development and maintenance of retention schedules</p>

					allow users to develop and manage records' retention plans without the need for custom programming or additional applications.
17.	Records Manager Application will be a 100% Web-browser based application.	Y			Usage of the Records Manager functionality is built into the OnBase web client as well as client-based interfaces.
18.	Views file plans and retention and disposition policies.	Y			Based on user rights, file plans, and retention and disposition policies can be viewed. 
19.	Provide interface capabilities to existing systems that create electronic records, via an application program interface (API) to integrate properly with the proposed ECMS.	Y			OnBase has several options to ingest electronic data from various sources that do not require the use of an API (COLD/ERM, XML, EDI to name a few). Absolutely there is the ability to use the API to store content into the system.
20.	ERP integration: support enterprise resource planning (ERP) systems APIs.	y			Some major ERP systems (PeopleSoft, Oracle, Lawson) are supported and have native integrations. That notwithstanding, all API's from ERP systems are supported and can be instantiated via web services calls (which do not require coding from OnBase) or the scripting engine built into OnBase.
21.	Typical Reports: Including, but (not) limited to, the following:				Unlimited number of reports/inquiries can easily be configured to meet these specific business needs.
	o Ready for Destruction report	Y			
	o Future Disposition Schedules report	Y			
22.	Maintain the relationships between records and files, between file series and the file plan.	y			Same as 11 - File Plans and their relationships with each other are defined and maintained within the administration interface. The plan is typically defined and then attached to records. Alternatively, this declaration can be made via other events.

23.	Retrieve information to comply with Freedom of Information Act / discovery requests.	Y			Same as 12 above
24.	Associate the contextual and structural data within a document.	y			Assuming Databank understands the question properly, this is typically maintained by the taxonomy design (record classes and metadata organization) which is extremely flexible and can also support external data sources.
25.	Construct and manage audit trails and track system usage by department and user.	y			A complete audit trail of ALL activity can be recorded and reported upon.

26.	Manage the integrity and reliability of records once they have been declared as such.	Y			Same as 14 above
27.	Identify records that are due for disposal when their prescribed retention periods elapse, managing the disposal process.	y			Same as 15 above

E-Form Specifications		Out of the Box	Custom-ization Required	3 rd Party App	Comments
1.	Do your E-forms support the need to retain the look and feel of paper forms?	Y		Y	If the paper forms you are referring to could be modeled within the capabilities of Microsoft Word & Microsoft Word Templates, one OnBase E-form capability called Document Composition could easily accomplish this via configurations. Depending on actual business needs there are multiple ways in which to create E-Forms within OnBase and with other tools DataBank brings to the table. One of the key determining factors on the right solution for the business need is what the signature experience needs to be. No matter what the challenge, DataBank will be able to deliver this capability.
2.	Do your E-forms support E-signatures?	Y			Both Digital and E-Signatures can be incorporated into a E-forms. OnBase has multiple e-signature options for your consideration in meeting this need. PLUS, OnBase also supports e-signature services such as DocuSign and others for your e-signature needs.
3.	Does your solution support public-facing E-forms that can be filled out and submitted on line?	Y			OnBase eForms can be public-facing. DataBank has assisted the State of Nebraska with eForms extensively, some applications being public-facing.

4.0 Additional Information. Provide any additional information that may be of interest to the State regarding your solution.

Thank you for the opportunity to provide additional information to the State of Montana regarding an Enterprise Content Management System (ECMS).

DataBank submits the following points to consider:

Technology implemented *well* can greatly improve the Montana's operations. DataBank's focus is to first understand our customers' challenges and then apply the best available technology to solve those challenges. Additionally, by always keeping further enhancement in mind, we are able to design solutions with greater flexibility, so that the platform can be leveraged to provide even greater value. With those foundational principals, we provide excellent solutions that produce excellent results. Your constituents demand no less, and we know that.

For the State of Montana's ECMS project, we recommend Hyland's OnBase Enterprise Content Management software. The current state you describe in the Request for Information leads us to believe that our experience with the State of Nebraska is very pertinent, allowing us to leverage our knowledge gained there for Montana.

Several key points to keep in mind are:

Solution adaptability: Hyland's OnBase Enterprise Content Management Software is a robust, cost effective solution that will provide the most value to the State of Montana across the many departments and agencies. The open, integrated, and configurable OnBase solution has been developed to meet the evolving needs of more than 11,000 customers world-wide spanning 50 Countries. Of this customer base there are over 1,100 Government Agencies using the OnBase product in 26 Countries. OnBase can currently be found in 47 of the 50 States in the US. It simply does more than any other product. With ***one platform***, OnBase, you can address needs across the entire State.

Solution Strength: OnBase is built on a **single code base**. The State of Montana, including all departments, agencies, and entities, will not have to consider the ramifications of dealing with solutions that are bolted together. OnBase is cohesive at the core. Support is easier. The user experience is more intuitive across multiple solutions. Users will be able to learn from each other, and Support will be able to build on their experience more rapidly. Overall, that leads to better adoption, a leaner implementation, and lower total cost of ownership.

Hyland's strength is further recognized by industry experts Gartner and Forrester. For the **fourth consecutive year**, Hyland is in the Leader Quadrant of the **Gartner Magic Quadrant** for Enterprise Content Management. The Forrester report specifically calls out the SharePoint and Outlook integrations, which provide ease-of-use to users, leading to increased adoption.

Hyland has an impressive array of partners, including several often used by public clients: Accela, Azteca CityWorks, DocuSign, ESRI ArcGIS, PeopleSoft, and SAP.

Partnership focus: DataBank approaches each project as a partnership. We understand that it is the right thing to do, and makes good business sense. Your reference to the possibility of County government participation shows that you also value partnership as well. Our partnership approach encourages and expects this type of participation to better leverage the investment across ALL government entities in the state of Montana, leading to more value.

Vendor adaptability: DataBank's experience has given us the ability to adapt to each customer's needs. Our Agile approach means that we remain open to the inevitable changes a large project can entail. If our conversations with Montana lead us to believe that a different approach will benefit you, we will mention it. We are open to working with Montana on strategies including integration, migration, and replacement. Sometimes the best approach is to scale back; sometimes it's best to be aggressive. In any event, your needs are at the forefront of the engagement.

One aspect of the OnBase solution, WorkView|Case Management is a particular strength of DataBank. It is a complete toolkit that enables the creation and rapid deployment of "document aware" case management solutions that are natively integrated with the OnBase suite. Organizations can eliminate disparate data management methods, such as spreadsheets and departmental databases. We find that this offers great value to a variety of processes, from Health and Human Services to IT ticket management.

Vendor Strengths: Montana will have a solid partner in DataBank: DataBank is Hyland's #1 Government Partner. We have the depth and breadth of experience to provide greater value to the State of Montana. Our national footprint has given our Professional Services Team a wide variety of projects to complete and learn from.

DataBank has experience in providing OnBase solutions to the following government areas:

- States – departmental and State Shared Services model
- County Prosecutors
- Court Administration

- Community Corrections
- Social Services/Health & Human Services
- Higher Education – public and private
- Information Technology
- Land Records/Tax
- Auditor
- Vital Records
- Procurement/Accounts Payable
- Human Resources
- Assessor's Office
- GIS
- Facilities Management
- Risk Management
- Public Health
- Veterans Services
- Elections

Specific to this Request, we note the following ideas, which DataBank could leverages for the State of Montana:

- **Duplicative Technology Consolidation.** An Enterprise ECM system maintained by Central IT allows the State to consolidate duplicate or legacy platforms that have not grown with the agency over the years. By consolidating these systems, the State ultimately saves money on maintenance and reduces the Total Cost of Ownership for ECM. This Central approach offers several other advantages outlined below.
- **ECM as a Shared Service.** Offering ECM as a shared service will allow the State to provide a solution for both large and small agencies. Typically the small agencies cannot justify the expense of an ECM system, but would typically see similar benefits to having the system in place. The shared Service is typically offered as a subscription model (per user/per month) and service fees fund the licensing, maintenance, staff, and hardware. DataBank has matured an approach to this process via past clients and is prepared to work with Montana on building out this service. A shared service also allows membership to an internal user group where ideas can be shared, challenges can be overcome, and best practices and policies can be established. DataBank will work with this group to help establish a roadmap, demonstrate current and future capabilities, and communicate project progress. Often this level of collaboration

can help local agency administrators with their day to day activities as they can meet and compare notes with their peers across the State.

- Public Access/FOIA. The ECM system will serve as a public access node statewide. Citizens requesting information or public records can do so anonymously or through a formal FOIA process, whichever is appropriate for the agency or process. Likewise, this portal capability can be extended to other public facing interfaces, such as GIS. This will allow the aggregation of various data sources to the relevant content in the ECM system.
- Portal for agency Business. A public facing portal is typically used for accessing records generally available to the public. However there are several other uses for the portal that requires a different solution and security. There are many business processes today that are between an agency and an external entity (e.g. citizen applying for a license or a service provider submitting an invoice) that are performed solely on paper today. Extending the ECM system to these external entities can dramatically reduce process turn around time, increase satisfaction, and reduce processing costs for all parties.
- Expertise. DataBank will lead the through the enterprise process, both from an infrastructure and planning process but from a shared service definition too. Additionally, we have project managers, architects, and analysts/technicians with state experience that can be contracted in a long-term setting to more quickly realize the benefits of the enterprise investment. DataBank is also available for thought leadership and policy advice based on best practices and past experiences.
- E-Forms. Unlimited electronic forms will allow agencies to modernize existing business processes that start with a paper form. Forms will be provided online and can be initiated via employee or even external parties. We are prepared to work with Montana to evaluate the best forms implementation for your needs.
- Electronic Signatures. Electronic signatures are cloud based solutions that will facilitate the signing process between an agency and remote parties (not in person). Web based signatures are secure, require no training, and can reduce approval time greatly.
- Enterprise Workflow. Workflow provides significant value beyond simple storage and retrieval of content. Agencies can define and automate business processes that are internal, external, or even inter-agency. There are several opportunities for shared workflow applications that can be leveraged by multiple agencies, such as HR and finance processes that might be currently managed by the Department of Administration.
- Enterprise Case Management. Similar to workflow, Case Management will allow the automation of business processes that are not document-centric or structured. This technology allows agencies to refresh legacy applications that are homegrown or are built upon non-enterprise standards (e.g. MS access).
- Enterprise Records Management. Too often, agencies are working with records management plans that are either outdated, not followed, or just not feasible to manage. ECM with a central records management approach offers the definition of retention plans in one repository, with full visibility over the process. Additionally, departmental records managers can be defined to manage their agencies content.

In addition to ECMS solutions, you could further leverage the partnership with DataBank to include:

Lock box services

Bulk scanning

Outsourced business processes

Considering the breadth of what DataBank offers and our expertise, we fully believe that we can work with Montana to provide the same impressive results our other clients have achieved. I welcome the opportunity to clarify or discuss any aspect of this response in person. I am just quick drive away in Boise, and get to Helena about once a quarter.

Thank you kindly,



Mary Bertelsen
DataBank IMX, Boise
208.921.2667
mbertelsen@databankimx.com
www.databankimx.com

ATTACHMENT A
STATE OF MONTANA AGENCY ECMS SURVEY
11/2013

- A. Do you currently have an imaging system, i.e. scanners, etc.**
1. YES - 91.2%
 2. NO – 8.8%
- B. What kind of scanning do you currently carry out/**
1. Scanner – 87.9%
 2. Integration with 3rd party specialized capture products – 45.5%
 3. Multi-functional devices (MFDs) – 60.6%
 4. Multi-channel ingestion:
 - i. Mobile device capture (smart phone, tablet) – 9.1%
 - ii. Fax server integration – 30.3%
 - iii. Email integration – 30.3%
 - iv. File import – 54.5%
 - v. Currently not doing any scanning – 3%
- C. Which of the following capabilities do you use?**
1. OCR – 66.7%
 2. ICR – 24.2%
 3. OMR – 18.2%
 4. OBR – 39.4%
 5. Mobile capture – 6.1%
 6. None of the above – 21.2%
- D. If you don't currently have a scanning system, what kind of scanning/capture do you think you might require?**
1. Scanner – 75%
 2. Integration with 3rd party specialized capture products – 50%
 3. Multi-functional devices (MFDs) – 50%
 4. Multi-channel ingestion:
 - i. Mobile device capture (smart phone, tablet) – 58%
 - ii. Fax server integration – 50%
 - iii. Email integration – 66.7%

iv. File import – 66.7%

E. Which of the following imaging capabilities do you need?

1. OCR – 82.4%
2. ICR – 41.2%
3. OMR – 29.4%
4. OBR – 44.1%
5. Mobile capture – 41.2%
6. None of the above – 21.2%

F. Please estimate the number of pages your agency currently scans per month:

1. Less than 10,000 – 25%
2. Up to 10,000 – 31.3%
3. Up to 25,000 – 15.6%
4. Up to 50,000 – 9.4%
5. Up to 75,000 – 0%
6. Greater than 100,000 – 18.8%

G. Do you currently have an ECMS?

1. YES – 53.1%
 - i. FileNet
 - ii. Microsoft CRM
 - iii. Laserfiche
 - iv. Docuware
 - v. SharePoint
 - vi. Home Grown
 - vii. Perceptive Software
 - viii. Tyler-Eagle Recorder
 - ix. C-Track
2. NO – 46.9%

H. If you currently have an ECMS, how many staff use the system

1. 0-10 6.3%
2. 10-25 18.8%
3. 26-50 25%

- 4. 51-100 0%
- 5. 125+ 37.5%

I. If you currently have an ECMS, what is the total number of system support staff in your agency?

- 1. One – 20%
- 2. Two – 40%
- 3. Three – 13.3%
- 4. Four – 0%
- 5. More than four – 26.7%

J. If you currently have an ECMS, please select the type of licensing model:

- 1. Named user – 31.3%
- 2. Concurrent user – 18.8%
- 3. Enterprise – 31.3%
- 4. None of the above (use a home grown system) – 18.8%

K. If you have an ECMS, how many documents do you currently store?

- 1. 0-100,000 – 29.4%
- 2. 100,000–200,000 – 23.5%
- 3. 200,000-400,000 – 11.8%
- 4. 400,000-500,000 – 11.8%
- 5. 500,000-1,000,000 – 11.8%

L. If you currently have an ECMS, what kind of organization/navigation capability do you use?

- 1. Folder – 62.5%
- 2. Key Word Search – 87.5%
- 3. Formal Taxonomy – 56.3%

M. If you do not have an ECMS, what kind of organization/navigation capability would you prefer?

- 1. Folder – 94.7%
- 2. Key Word Search – 84.2%
- 3. Formal Taxonomy – 73.7%

N. Does your ECMS need to support remote locations, i.e. staff in your organization that are geographically dispersed in other office locations?

- 1. YES – 81.3%

- 2. NO – 18.8%

O. Does your ECMS need to support mobile workers?

- 1. YES – 71.9%
- 2. NO – 28.1%

P. Does your ECMS require providing access to certain documents on an online basis to the public or customers?

- 1. YES – 81.3%
- 2. NO – 18.8%

Q. Do you currently have an ERMS?

- 1. YES – 31.3%
 - i. Microsoft CRM
 - ii. LaserFiche
 - iii. Microsoft Dynamics
 - iv. FileNet
 - v. Perceptive Software
- 2. No. – 68.8%

R. Is your ERMS part of, and seamlessly integrated with your ECMS?

- 1. YES – 63.6%
- 2. NO – 36.4%

S. Does your organization have an up-to-date Records Retention Plan?

- 1. YES – 71.9%
- 2. NO – 28.1%

T. If you currently have an ECMS system, does it have automated workflow capabilities?

- 1. YES – 41.1%
- 2. NO – 52.9%

U. If you do not have automated workflow capabilities, does your organization need document-centric, author-review-approve automated workflow capabilities?

- 1. YES – 85.7%
- 2. NO – 14.3%

V. What kind of workflow automation does your organization need?

1. Process E-forms for internal purposes – 73.3%
2. Process E-forms for external purposes – 73.35
3. Process applications for various customer services – 70%
4. Process customer requests – 66.7%
5. Process work items (documents, reports, designs, etc.) – 83.3%
6. Automatic notifications and emails (internally and to external customers) – 76.7%
7. Workflow status tracking – 70%
8. Don't know – 10%
9. Other – 10%

W. Does your organization currently use E-forms?

1. YES – 46.4%
2. NO – 53.6%

X. Does your organization have a need for E-forms that can retain the look and feel of paper forms?

1. YES – 75%
2. NO – 25%

Y. With regards to E-signatures, check all that apply to your organization:

1. Use E-forms but do not need E-signatures – 10.7%
2. Use E-forms and need E-signatures – 36.4%
3. We aren't using E-forms or E-signatures, but could use them – 46.4%
4. Don't know how we could use E-forms and E-signatures – 14.3%

Z. Does your organization have a need for E-forms that are filled out online by customers?

1. YES – 85.7%
2. NO – 14.3%

AA. Does your organization have a need for E-forms that can be filled out on the Internet by staff or customers/public, i.e. online form submittal?

1. YES – 85.7%
2. NO – 14.3%

Appendix A: Report Examples of Retention Policy Adherence

Content Management Specifications item 11.

Document Retention Configuration Report on 01/28/2008 at 4:25:05PM							
CFGRPT4194304							
01/28/2008 4:25:01PM		Document Retention Configuration Report		Process	PAGE: 1		
Created by: MANAGER		Workstation: DEVm005038 (AUTO)		Type	Retention Period		
Univ - Correspondence (Purge) (Process Name)		Dynamic	Days 0	Months 6	Years 0	Date Used	
UNIV - Correspondence							
Univ - Correspondence (VB) (Process Name)		Dynamic	Days 0	Months 6	Years 0	Document Date	
UNIV - Correspondence							
Univ - Info Cards (Process Name)		Static	Days 0	Months 0	Years 1	Document Date	
UNIV - Information Cards							
Univ - Questionnaires (Purge) (Process Name)		Dynamic	Days 0	Months 3	Years 1	Document Date	
UNIV - Alumni Questionnaires							
Univ - Questionnaires (WF) (Process Name)		Dynamic	Days 0	Months 3	Years 1	Document Date	
UNIV - Alumni Questionnaires							
System Volume 2 Copy 1		Read-Only		0 Note(s)		0 Highlight(s)	
				0 Thread(s)		Line 22	
				Page 1		1 Page(s)	

Document Retention Configuration Report

RECMANRPT PAGE: 1
01/14/2014 3:00:24PM Records Management Report by MANAGER on 01/14/2014 at 3:00:24PM

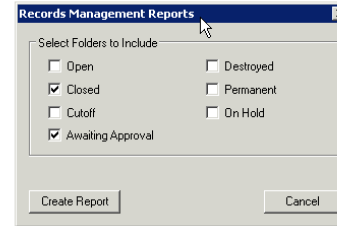
Closed Folders:

Folder: 124-001-000-000-000-000 - 07/08/2011 5
Type: 124-001-000-000-000-000-000
Transitioned: 07/08/2011
Effective Date: 08/08/2011
Previous Event: --
Previous Status: Open
Retention Plan: zz124-001-000-000-000-000-000 ACCOUNTS PAYABLE

Folder: 124-001-000-000-000-000 - 07/08/2011 6
Type: 124-001-000-000-000-000-000
Transitioned: 07/08/2011
Effective Date: 08/08/2011
Previous Event: --
Previous Status: Open
Retention Plan: zz124-001-000-000-000-000-000 ACCOUNTS PAYABLE

Folder: STUDY WITH RM
Type: Study (Case)
Transitioned: 03/10/2011
Effective Date: --
Previous Event: Close Study
Previous Status: Open
Retention Plan: Close Study

Hold: Time Stamp Failure
Hold Placed By: ROADS
Hold Placed: 03/10/2011
Reason: PFU TimeStamp Signature Failed.



A screenshot of a Windows-style dialog box titled "Records Management Reports". It contains a section "Select Folders to Include" with six checkboxes: "Open", "Closed", "Cutoff", "Awaiting Approval", "Destroyed", and "Permanent". The "Closed" and "Awaiting Approval" checkboxes are checked. There are also two unchecked checkboxes, "On Hold" and "Permanent". At the bottom of the dialog are two buttons: "Create Report" and "Cancel".

Records Management Report by Manager

Appendix B: Search Functionality

Fast, consistent, and secure access is provided to all documents stored in the OnBase system. Retrieving a document is nearly instantaneous through several search methods, including the Document Retrieval dialog box, Foldering, Custom Query, Text Search, and Cross-Referencing. The client is the central location to import, organize, secure, retrieve, enhance and distribute all of your data.

Powerful tools are provided to retrieve stored data quickly and accurately. The OnBase client offers several methods of searching, including:

- The Document Retrieval Dialog Box offers an efficient, user-friendly way of displaying any and all documents stored in OnBase. It provides users with the ability to retrieve the exact document(s) desired with minimal effort. Entering keyword values allow users to find documents in seconds. Keywords and dates can be used to filter unrelated documents. Queries can limit searches by document type group, document type, document date and keywords.
- Cross-Referencing is a powerful retrieval method that enables users to double-click on an open document and automatically retrieve any or all related documents regardless of data type. The links between document types for cross-referencing are created with only a few mouse clicks and never require programming. For example, to find and display the image of receipt related to an item in an expense report the user would only have to double click on the expense report that lists the expense.
- The Custom Query retrieval feature enhances security and makes routine retrievals one click away for users who repeatedly perform the same queries. A user-defined, custom query provides a faster, more direct way to search for a specific item. To enhance security and usability, OnBase can be configured to have only the Custom Query display on startup. If a workstation is setup in this fashion, it will present the user with only specified queries. The user will not be aware of any other information in the OnBase system and have no way of accessing it. Custom queries can be configured to search against document types or folders. Folder queries retrieve folders that satisfy your search criteria, rather than documents.
- Text Searching is used to locate COLD and other text documents that contain a specific string of text. The search is done where the data is stored so that OnBase does not have to send all the raw data to the workstation to complete the search, saving time and limiting network traffic. Combining keyword searching and text searching, narrows down the results even further.
- Full-Text Indexing Server for Autonomy IDOL provides advanced full-text searches for words or phrases that exist within documents stored in OnBase. These words or phrases can exist in COLD documents, text renditions of image documents (OCR'd images), and many 3rd party application documents. Can perform fuzzy searches, wildcard searches, stemming searches, and searches combining full-text and keywords on document types.

- File Foldering can be customized to meet user needs. This search method is very similar to using Windows Explorer. A file cabinet window displays the folder type, all available file cabinets, and all tabs or sections within a selected folder. Navigation features include double-clicking on a folder to display the next directory, and pressing the backspace key to move to a higher-level directory.
- A Note Search initiates a search for all documents with notes that contain the text entered by the user. When OnBase finds documents with notes, highlights, or staples text that match, a list is generated in a separate window. The user can also restrict the search to certain note types, users and/or date by making a selection from a drop-down list of note types.
- The Document Handle Search provides a way to retrieve a document by its master 'Item Number' in the OnBase database. This is useful for administration and troubleshooting.

Appendix C: Workflow

OnBase Workflow is a rules-based electronic document routing system that enables users to process work more efficiently, faster, and more accurately than with traditional paper processing. OnBase Workflow is beneficial whenever successive points of input or action are required in order to complete a task, process, or procedure. From processing applications to approving expense reports to managing remittance processing, Workflow streamlines collaboration and accelerates the completion of critical business tasks. Additionally, OnBase Workflow can easily integrate with and provide the backbone to e-commerce solutions as well as be tied to organizations' core ERP and CRM systems.

With OnBase Workflow, users or integrators define and configure document states, rules, actions, and Life Cycles with a graphical Windows interface. Upon configuration, Workflow instantly routes documents through the business process as each increment of user or system work is completed. OnBase Workflow also supports such advanced features as alternate routing logic, automatic criteria calculation, rendezvous, simultaneous notification, load balancing, reporting, Ad Hoc Workflow, Visual Basic scripting, and API functionality for integration with core legacy or ERP/CRM systems.

When integrated with OnBase Web Server or Unity Server, the benefits of OnBase Workflow can be made available via the Internet to users throughout the company, regardless of their location.

Workflow, which is entirely point-and-click configurable, has been designed to allow for quick implementation. Much, if not all, of the programming that is required by traditional workflow systems has been eliminated. Workflow configuration consists of two central windows: the Tree View configuration window and the Graphical View configuration window.

The intuitive design of the Tree View configuration window provides a workflow designer with the tools to define the work (e.g. system, user, or timer) to be accomplished at each queue and define the rules and actions that determine how documents will be routed. Simple right-click mouse functions and easy to understand configuration windows give non-programmers an unprecedented ability to design and deploy sophisticated workflow solutions.

The Graphical View configuration window allows the designer to determine how the actual flow of a Life Cycle will appear and how documents will be transitioned through the Life Cycle. Through the use of a configuration toolbar and grid map, Workflow Life Cycles are designed in minutes. Upon the creation of the Life Cycle, the graphic layout and the transitions, a basic workflow has easily been established.

Once the Workflow layout and transitions have been defined, the designer completes the Life Cycle queue attributes by returning to the Tree View configuration window. The designer can choose from a large pre-defined list of rules and actions, or custom define rules or actions, utilizing Visual Basic scripting, through OnBase Workflow

Users enter Workflow by selecting the Workflow button on the OnBase client toolbar or by selecting the menu option ~Workflow Inbox". In a normal user environment, the user will see only the queues to which they are assigned. The administrator can select to hide or show a disabled icon for those queues to which a user does not have access.

In order for a document to enter a Workflow process, its document type must be associated with a specific Life Cycle. A document type can be configured to enter a lifecycle at a specific queue and automatically initiate Workflow. Documents are brought into a Workflow Life Cycle in all of the same ways documents can currently enter OnBase COLD, DIP, Imaging, etc. Selecting a document from the OnBase Document Retrieval window and selecting the "Execute Workflow" option will manually start a Workflow Life Cycle. OnBase can also initiate Workflow from electronic forms, Internet forms and email messages.

Once in Workflow, users see a list of documents that are waiting in their queue. A task bar displays the user options for that queue. The user, upon selecting a document, can "Begin User Work", select a task to perform from the task bar, or route the document to another user or queue. The "Begin User Work" option prompts some type of user interaction, such as a question for the user to answer or series of tasks that the user should perform. When the user completes all user work and tasks, the document continues through Workflow and the user proceeds to the next document. When a document is at the end of a Life Cycle, there are options for eliminating, and archiving the document.

Typically, queues are shared by groups of individuals. Many employees can share the same queue, but they would only see the files assigned to them. To the user, it appears as if they are the only one using the queue. Queues can also be configured without any user work. These are called system or server-side queues. They handle background processes such as ticklers, timers, and other automated data processing functions.

CORE FEATURES:

- Ensures that documents are routed in a standard, controlled, and prompt manner.
- Accommodates exceptions to the configured model by assigning specific users with rights to add or exempt stages on an ad-hoc basis.
- Forwards documents without delay to each successive phase.

- Automatically distributes documents to specific work groups.
- Allows documents to be prioritized in each queue. If there is no priority assigned, the documents are sorted by the date and time they enter the Life Cycle.
- Monitors and measures the time it takes to complete a process.
- Audit queues allow periodic review for quality assurance.
- Supports Internet access for users outside of the immediate office environment.
- Processes are easily added or adjusted at the document, process, group, or enterprise level by specified users or administrators.
- Point-and-click configuration enables customization of both the routing and the user interface without programming.
- Integrates seamlessly with other OnBase modules and incorporates powerful cross-referencing to COLD, image or application documents.
- Integrates easily to other legacy systems utilizing Visual Basic scripting and robust API calls.